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Date November 30, 2005 Client-Matter - 74622-040

Total Pages (Including Cover) 5

From Juan C. Arias

Sender's Voice Number 212.969.4138

Fax Transmittal

Sender's Room Number

Sender's Email Address jarias@proskauer.com

Main Fax Number 212.969.2900

To: Examiner: Jagdish Patel

Fax No.: 571.273.8300

Company: United States Patent and Trademark Office-Group Art 3624

Voice No.: 571.272.6748

## Message

Re: Inventor: Lawrence P. Shields, et al.

Serial No. 09/779,114

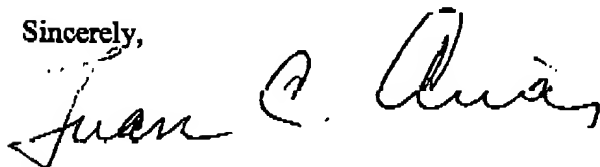
Filing date: February 8, 2001

Title: SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO  
STOCK OPTION...

Attorney Docket: 74622-040

Attached is the Power of Attorney and Correspondence Address Indication Form/ Statement Under  
37 CFR 3.73(b) as filed on June 29, 2005.

Sincerely,



Juan C. Arias

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Date June 29, 2005 Client-Matter 74622-040

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Total Pages (Including Cover) 3

From John C. Stellabotte

Sender's Voice Number 212.969.3413

Sender's Room Number 17-44

Sender's Email Address jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To: Boardman, Jagdish Patel

Fax No.: 703-872-8306

Company: United States Patent and Trademark Office - Group Art Unit 3624 Value No.: (571)272-8748

Message

Re: Inventor : Lawrence P. Shields, et al.  
 Serial No. : 09/779,114  
 Filing Date : February 8, 2001  
 Title : SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE  
 PURSUANT TO STOCK OPTION...  
 Att'y Docket : 74622-040

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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From John C. Stellabotte

Sender's Voice Number 212.969.3413

Sender's Room Number 17-44

Sender's Email Address jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To: Examiner: Jagdish Patel

Fax No.: 703-872-9306

Company: United States Patent and Trademark Office - Group Art Unit 3624

Voice No.: (571)212-6148

## Message

Re: Inventor : Lawrence P. Shields, et al.  
Serial No. : 09/779,114  
Filing Date : February 8, 2001  
Title : SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE  
PURSUANT TO STOCK OPTION...  
Att'y Docket : 74622-040

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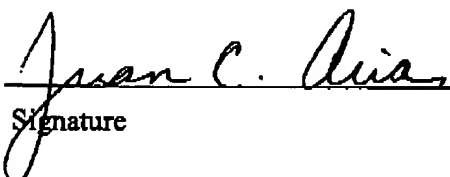
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## STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Lawrence P. Shields, et al.Application No./Patent No.: 09/779,114 Filed/Issue Date: February 8, 2001Entitled: SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION...

UBS Financial Services, Inc.

Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Gregory J. Goldman

Printed or Typed Name

Director and Senior Counsel, UBS Financial Services, Inc.

Title

UBS

203.718.3088

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	Application Number	09/779,114
	Filing Date	February 8, 2001
	First Named Inventor	Lawrence P. Shields
	Title	SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION...
	Art Unit	3624
	Examiner Name	JAGDISH PATEL
Attorney Docket Number		74622-040

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/99)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	01/22/05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, UBS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representatives are required. Submit multiple forms if more than one signature is required, see below.

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